BUILDING AND MEASURING
A CITY THAT WORKS

A GUIDE TO PERFORMANCE MANAGEMENT
IN THE DISTRICT OF COLUMBIA

When We Go: Average EMS Incidents per Hour
CY 2005; n = 116,880
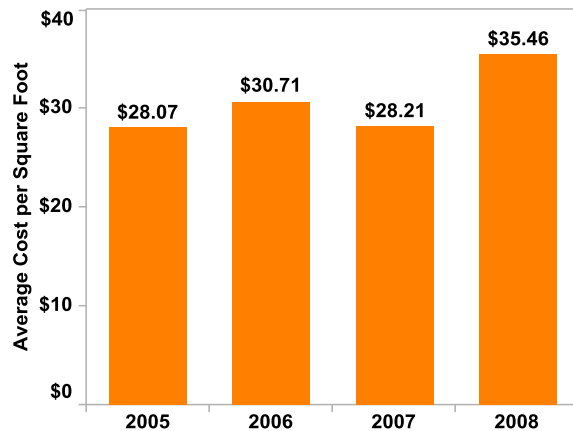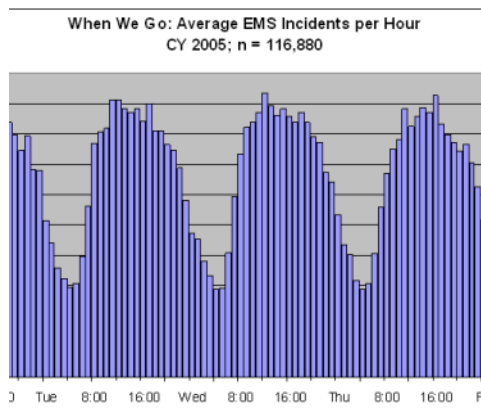
CapStat Program
Office of the City Administrator
For FY 2010 Plans

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I. INTRODUCTION

Performance Measurement is a tool that allows us to gain insight into, and make judgments about, the effectiveness and efficiency of our government programs, processes and people. By collecting and analyzing meaningful data and focusing on results that benefit District of Columbia residents, we can improve the performance of city government.

In 2008, we were in the midst of the most significant change to performance management since the creation of strategic business plans. We expanded the use of performance measures in CapStat accountability sessions, we built a web-based data submission tool that makes entry simpler, and we revised our year-end reports to make them more visually accessible and informative. We wrote this guide to explain requirements and continue to facilitate innovations to the program change.[1]

What is New for FY 2010 Plans?

Beginning with FY 2010 plans, we are requesting selected agencies (list of agencies in Appendix A) to submit division-level performance information for their FY 2010 plans. Each affected agency must:

- Identify at least two divisions (one can be Agency Management or Office of the Director)
- Each division must have:
  a. A scope of services
  b. Objectives
  c. Initiatives
  d. A KPI table with at least **one** outcome measure and **one** efficiency measure
- Multiple divisions in an agency may share the same objectives and outcome measures

Innovation Timeframes

- **Division-Level Performance Plans**: By August 31, 2009, for 34 agencies (for FY10).
- **Web-based Data Submission (for FY09 plans)**: By March 12, 2009, for all agencies.

This guide seeks to:
- **Standardize the practice of performance management across District agencies**
- **Explain the uses of performance information and plans**
- **Explain the steps to creating a performance system in your organization**
- **Provide guidance on how to communicate goals, determine service areas, focus objectives on outcomes, and develop indicators that give us useful feedback**

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[1] *Acknowledgements*: Performance management is by no means a new field. Most states, counties, and cities have used them in some form for decades, often employing very similar processes. Guides to performance management are also not new. In creating this guide, its authors researched, were inspired by, and occasionally borrowed from performance management guides in other jurisdictions, notably Fairfax County, Virginia and the State of Texas.

II. PERFORMANCE MANAGEMENT PRINCIPLES APPLIED IN DC
Why is Performance Management Important?

A quality performance management program 1) improves decision making, 2) enhances public transparency, and 3) complies with the law. This last point is particularly important, and worth greater explanation.

It's the Law
The "Government Managers Accountability Amendment Act of 1995" (GMAA) mandates that all District of Columbia government agencies transmit to the Council a performance plan for the next fiscal year that covers all publicly-funded activities of the agency. The performance plans are submitted at the time the Mayor transmits the annual budget to the Council. The "Performance and Financial Accountability Act of 2001" mandates a performance-based budgeting system, which now applies to all District government agencies.

> **How Performance Management Helps:**
>
> - Improves agency management and highlights agency priorities
> - Emphasizes progress toward agency goals and objectives
> - Helps make better budget, operational, personnel, and policy decisions
> - Provides a basis for planning future goals and actions
> - Encourages accountability and transparency
> - Tracks results

In addition, the section titled "Performance and Financial Accountability" of the DC Home Rule Act (§ 1-204.56a and §1-204-56b of the DC Official Code) requires the DC government to submit to Congress an annual performance plan and report covering each agency (the Performance Accountability Report).

In order to comply with GMAA, agency performance plans must include:
- A mission statement and objectives
- A strategic description of how the agency's mission and goals will be accomplished
- Measurable and objective performance goals for all significant activities
- One or more measures of performance for each significant activity
- The actual level of performance, compared to the target level of performance, for each performance measure included
- The name and position of the management employee(s) directly responsible for the achievement of each performance goal, as well as the management employee's immediate supervisor

What is Performance Management?

Performance management is also an extremely broad term, which in practice may differ widely between organizations. At its core, it is about helping the leadership and employees of an organization make better decisions. The most vital aspect of performance management is performance measurement, which is defined as the regular collection of specific information regarding the results of city services.

Linkages are Key to Effective Performance Management

Budget Development

Strategic Planning

Employee Evaluation

Performance Measurement

Performance Measurement helps assess if government is achieving its objectives. Employees should be held accountable to those results.

Budget enhancement should result in improved performance. Strategic planning should guide those enhancements.

Agencies need employee buy-in. Managers should tie work plans and performance goals to those of the organization.

In general, a good performance measurement system should be able to provide answers to the following questions:
- **What did we achieve?**
- **How efficiently did we perform the work?**
- **What impact did our activities have on the community?**

How Has Performance Management Evolved in the District?
Performance management and measurement in the District of Columbia is by no means new. For years, the city has included performance information in its budget books and in annual reports. Agencies often have supplemented citywide reports with their own performance reports. Historically, many of the city's performance metrics tracked outputs. Our emphasis for the 2010 planning cycle is to balance this perspective with a greater emphasis on outcomes and efficiency.

District government has been measuring its performance for years. Currently, each agency has a Strategic Business Plan, most of which were written between 2001 and 2003, and an Agency Performance Plan, first created in 2007. The difference between the two is stark. Strategic Business Plans were written as part of a move toward a Performance-Based Budget, and today are used as the

principal organizing tool for the budget; it lists an agency's budget programs and activities. The Performance Plan is a concise public document that lists an agency's mission, scope of services, principal objectives, key initiatives, and essential performance indicators. The focus of this manual, and of the city's current performance management system, is squarely on the Agency Performance Plan.

Over the years, the city implemented several additional innovations. We have a benchmarking report that compares outcome data in different policy areas with those of similar or surrounding jurisdictions. We have periodically evolved our reporting templates, data entry databases, and performance indicator requirements to keep up with thinking in the field.

What is CapStat?
The most significant innovation in performance management since the Fenty Administration took office is the development of the CapStat program. What CapStat represents is an effort to make performance data more relevant to the decision-making process. During hour-long CapStat sessions, the Mayor and senior staff from relevant agencies take an in-depth look at a single issue. The heart of the discussion is a careful examination of performance data central to the issue, which then serves as the point of departure for a conversation about how the District can more effectively address the issue at hand. We relentlessly track commitments made during these sessions and repeatedly come back to topics until the Mayor sees demonstrable improvements.

Mayor Fenty has repeatedly held CapStat sessions on topics as wide-ranging as violent crime, homelessness, snow removal, customer service, and energy efficiency. At the core of CapStat is the idea that accurate, compelling data about performance needs to serve as the factual foundation for tough policy decisions. From these sessions, the Mayor made and has tracked commitments to provide housing to families in DC Village, create 10,000 affordable housing units, institute focused improvement areas, and reduce the city's fixed costs. The list goes on and on, and is made accessible to the public on the CapStat website.

How is Performance Management Accomplished?
There are many approaches to performance management that can work effectively. Overall, performance measures should be developed as part of the strategic planning process and should flow from the agency's mission and objectives. Agencies should carefully review performance targets annually to determine if they logically relate to the other elements of the performance plan. That being said, it is in the agency's best interest to avoid altering the measures from year to year; doing so greatly affects the reliability and validity of the data.

As we will discuss later, there is a step-by-step methodology for creating successful and long-lasting performance measures. This guide will help make this process as straightforward as possible. Finally, it is important to remember that in order to be effective, performance measurement must be useful to, and used by, key decision makers. Otherwise, it is just an exercise in bureaucratic irrelevance.

III.   PERFORMANCE MANAGEMENT DOCUMENTS AND THEIR USES

What are you responsible for creating? What are we responsible for creating?
Seven documents underpin the District of Columbia's performance management system. Agencies create four of these documents and the Office of the City Administrator creates the remaining three. We focus on these deliverables because they lend some tangible focus to the process of strategic planning and employee development. All seven documents share common components and relate to each other.

Agencies are responsible for:

1. <u>Agency Performance Plan</u> – Each agency, that is not tasked with submitting a division-level plan, is required to submit an annual agency performance plan detailing objectives, initiatives and measures which will be used to evaluate agency performance.
2. <u>Division-level Performance Plan</u> – Beginning in FY2010, 34 agencies will be required to create a plan identifying divisions and associated objectives, initiatives and measures.
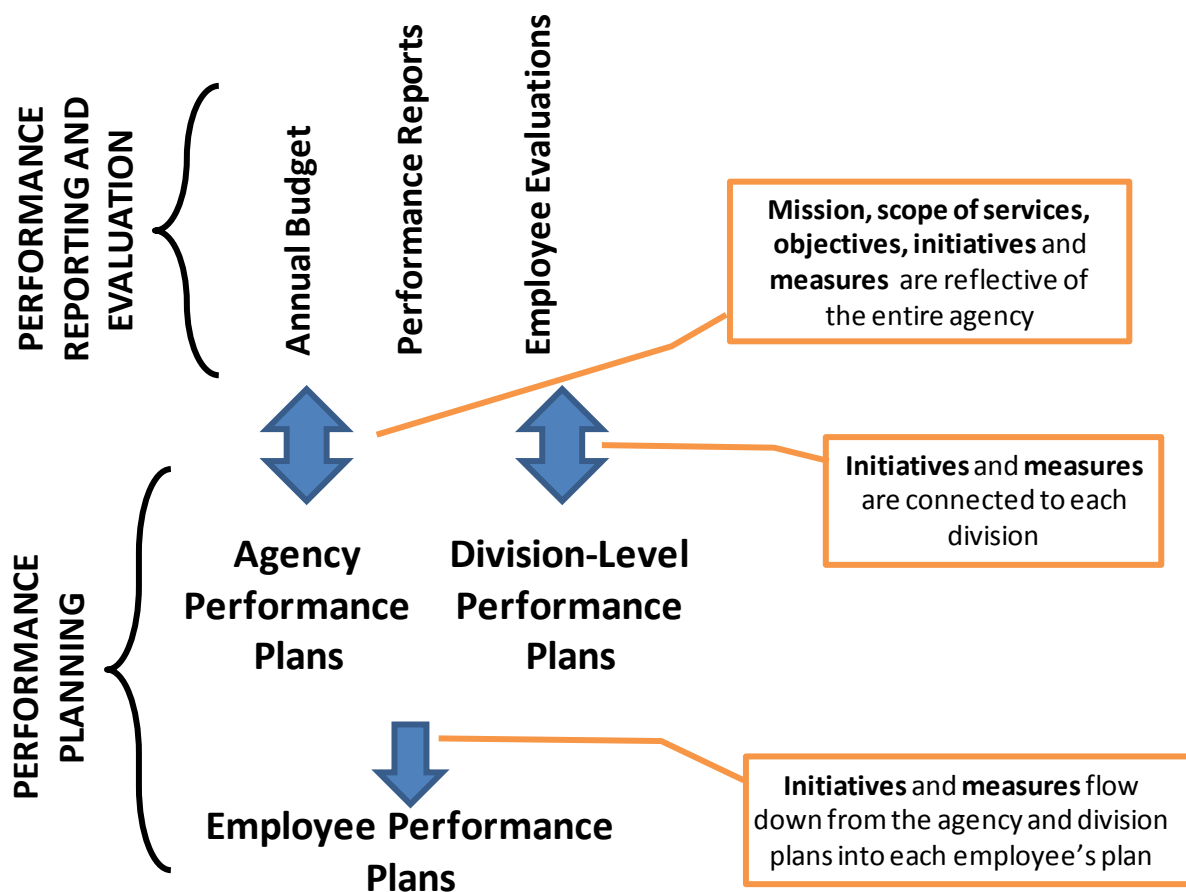
3. <u>Employee Performance Plans</u> – These provide a basis for employee development and allow an agency to connect an employee's goals to those of the larger organization. They are not covered in this manual, but are nonetheless an important part of a functioning performance system.
4. <u>Employee Evaluations</u> – Related to the above employee plans, these summarize how well an employee succeeds in meeting the expectations outlined in their plan. These are also not covered in this manual.

The Office of the City Administrator is responsible for:

5. <u>Mid-Year Performance Assessment</u> – These meetings, held with the City Administrator, examine an agency's progress with defined measures.
6. <u>Year-End Performance Accountability Report (PAR)</u> – The PAR is published at the beginning of the calendar year and is delivered to the DC City Council and US Congress.
7. <u>Annual Budget</u> – In each budget submission to the Council, the budget book includes a statement of every agency's mission, services, objectives, performance measures, and prior-year performance trends.

For FY 2010 there will be two formats for performance plans. One group of agencies will continue to use the performance plan format used in FY 2009. A second group (listed in Appendix A) is required to adopt a modified structure, which explicitly breaks out division-level performance information.

AGENCY PERFORMANCE PLAN
(FOR THOSE FOLLOWING THE FY 2009 STRUCTURE)

Purpose – Each department or agency uses its Agency Performance Plan to monitor and assess its performance against a defined mission, objectives, initiatives, and indicators. The primary audiences for the Agency Performance Plan are the Agency staff, City Administrator, Mayor, Council and the general public.

Cycle – As early as the beginning of the prior fiscal year, agencies begin the annual process of revising their performance plans. Why this early? For FY 2010, the timetable for Performance Plan development coincides with the budget development process for the District of Columbia, but the initiatives and final KPIs will not be finalized until September 2009, after the budget is final.

> **Key Deadlines for Agency Plans**
>
> **FY2010 Plans**:
> - Draft by March 10, 2009 (includes mission, objectives, some initiatives and KPIs)
> - Final by September 30, 2009 (includes all initiatives)

Components
- <u>Agency Mission</u> – A short comprehensive description of why an organization exists. It succinctly identifies what an organization does (or should do), and for whom it does it.
- <u>Summary of Services</u> – What does the agency do? A brief summary of the programs and services managed and delivered by your agency.
- <u>Objectives</u> – A broad statement describing desired outcomes, but more specific than the Department's mission; objectives support the mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission. Like the agency's mission, objectives rarely change from year-to-year.
- <u>Initiatives</u> – What does an agency intend to accomplish that is new, better, or different? Initiatives are statements of an anticipated level of achievement, usually time limited and very specific. An initiative may include reference to targets and/or standards, and is designed to help the Department meet its objectives. All initiatives contained in the

> **KPI Requirements**
>
> **Number of KPIs**:
> - At least three for each objective
>
> **Type of KPIs**:
> - For each objective, at least one outcome measures and one efficiency measure
> - Different objectives can share the same outcome measures

agency performance plans should be externally focused.

- Key Performance Indicators – A standard of measure used to gauge quantifiable components of performance especially by comparison with a standard or target. Valuable metrics/measures should provide insight into the performance of a program in terms of inputs, outputs, efficiency, service quality, and/or outcomes. Each metric/measure should also be tied to a specific objective.

AGENCY PERFORMANCE PLAN
(FOR THOSE LISTED IN APPENDIX A FOLLOWING THE NEW DIVISIONAL GUIDELINES)

Purpose - To create robust agency performance plans, each agency should include descriptive information and performance data about its divisions. This division-level information should use the same template as the agency plan (See Example in Appendix D and E). Divisional information in performance plans should include a division's scope of services, objectives, initiatives and key performance indicators. It should also track inputs, outputs, efficiency, service quality, and outcomes. This information is the core of our performance measurement process.

Cycle – Since divisional information is directly integrated into an agency's performance plan, the creation of these divisional sections should follow the development of high-level agency performance objectives, but precede the completion of a full first draft of an agency plan. We did not mandate divisional plans for FY2009, but will for FY2010.

What is a "Division?"

For the purposes of this manual, we are using the term "Division" as a generic term to refer to entities one level below that of the agency structure. In reality, some of these "one-level-down" entities are called Departments, Administrations, and Bureaus in the context of their particular agency. It should reflect one's budget structure, but does not need to. In fact, it is our expectation that agencies will restructure their budgets if there is incongruity between how they are organized operationally and how their budget is organized.

Components
- Agency Mission – A short comprehensive description of why an organization exists. It succinctly identifies what an organization does (or should do), and for whom it does it.
- Agency Summary of Services – What does the division do? A brief summary of the programs and services managed and delivered.
- List of Divisions – Literally a bullet-point list of divisions included in the performance plan.
- For each Division:
  - Name of Division – Note: an agency can include a division called "Office of the Director"
  - Divisional Objectives – A broad statement describing desired outcomes, but more specific than the Department's mission; objectives support the mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission. Like the agency's mission, objectives rarely change from year-to-year.
  - Initiatives – What does a division intend to accomplish that is new, better, or different? Initiatives are statements of an anticipated level of achievement, usually time limited and

Key Deadlines for Divisional Plans

FY2010 Plans:
- Staggered deadline: between May 31, 2009 and August 31, 2009
- Final by September 30, 2009, (includes all initiatives)

very specific. An initiative may include reference to targets and/or standards, and is designed to help the Department meet its objectives. All initiatives contained in the agency performance plans should be externally focused.

- o <u>Key Performance Indicators</u> – A standard of measure used to gauge quantifiable components of performance especially by comparison with a standard or target. Valuable metrics/measures should provide insight into the performance of a program in terms of inputs, outputs, efficiency, service quality, and/or outcomes. Each metric/measure should also be tied to a specific objective. Each divisional section of a plan must contain at least one outcome measure and one efficiency measure.

What to do about shared objectives?
Many agencies will have organization-wide objectives, shared by every division. This is permitted. An agency can have one of their objectives repeated for more than one division and it can have the same outcome measure repeated for multiple divisions.

EMPLOYEE PERFORMANCE PLANS

Purpose – The District of Columbia's performance systems are designed to provide an objective and developmental approach to assessing employee performance. Employee Performance Plans are created by all District employees with their supervisors. They provide supervisors with an opportunity to communicate performance expectations to their employees and to provide them with specific feedback about their job performance. They also promote dialogue regarding career development and employee recognition as well as provide a path towards improving employee performance through training.

Cycle – The Performance Management Program evaluation period is October 1 through September 30 of each year. PMP evaluations are submitted through the online system in early November, with hard copies to follow in December.

EMPLOYEE EVALUATIONS

Purpose – Employee evaluations provide direct feedback to employees about their performance against goals, and promote dialogue regarding career development and employee recognition. They also serve a very practical purpose as the basis for pay-for-performance compensation and in some cases corrective or disciplinary action.

Cycle – The cycle of the employee evaluations should follow the same cycle as the employee performance plans with due dates approximately six weeks after the end of the employee performance cycle.

YEAR-END ACCOUNTABILITY REPORTS (PARs)

Purpose – The Performance Accountability Report is mandated by the "Government Managers Accountability Amendment Act of 1995." In assessing agency performance, actual results are compared against targets and goals that were set in the annual performance plan and were developed to help carry out an agency's strategic plan.

The goal of the PAR is to view performance results achieved. This document also provides citizens with insight into the agency roles for the financial activities of the DC Government.

Cycle – The PAR process is annual. Agencies are asked to report data on each of their KPIs to the Office of the City Administrator on a quarterly basis. These are then reviewed and verified by the OCA analysts responsible for that agency. The report is submitted to the Council by January 15 and to Congress by March 1, as mandated by the "Federal Payment Reauthorization Act of 1994."

Components
- Agency Mission – A short comprehensive description of why an organization exists. It succinctly identifies what an organization does (or should do), and for whom it does it.
- Summary of Services – What does the agency do? A brief summary of the programs and services managed and delivered by your agency.
- Top 3 Accomplishments – Very concise bullets, regardless of whether they were initiatives in the prior year's plan.
- Objectives – A broad statement describing desired outcomes, but more specific than the Department's mission; objectives support the mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission. Like the agency's mission, objectives rarely change from year-to-year.
- Initiatives – What does an agency intend to accomplish that is new, better, or different? Initiatives are statements of an anticipated level of achievement; usually time limited and very specific. An initiative may include reference to targets and/or standards, and is designed to help the Department meet its objectives. All initiatives contained in the agency performance plans should be externally focused.
- Key Performance Indicators – A standard of measure used to gauge quantifiable components of performance especially by comparison with a standard or target. Valuable metrics/measures should provide insight into the performance of a program in terms of inputs, outputs, efficiency, service quality, and/or outcomes. Each metric/measure should also be tied to a specific objective.
- New Innovation – For two key measures, we asked agencies to provide descriptive information to supplement KPI data, which will explain to readers why performance has trended as it has.

ANNUAL BUDGET

Purpose – As part of the city's commitment to a Performance-Based Budget, the Mayor's annual budget submission to Council includes information around an agency's historical and projected performance.

Cycle - The FY 2010 Budget and Financial Plan is the result of a year-long process that starts with strategic planning and culminates with the specific spending decisions in the budget. Budget preparation begins with the Office of Budgeting and Planning (OBP) in September and culminates with the budget submission to the Council in March. After the budget is approved by the Council, it is submitted to Congress.

Components (only as it pertains to Performance Management)
- Agency Mission – A short comprehensive description of why an organization exists. It succinctly identifies what an organization does (or should do), and for whom it does it.
- Summary of Services – What does the agency do? A brief summary of the programs and services managed and delivered by your agency.

- Objectives – A broad statement describing desired outcomes, but more specific than the Department's mission; objectives support the mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission. Like the agency's mission, objectives rarely change from year-to-year.
- Key Performance Indicators (targets, actuals, and projected) – A standard of measure used to gauge quantifiable components of performance especially by comparison with a standard or target. Valuable metrics/measures should provide insight into the performance of a program in terms of inputs, outputs, efficiency, service quality, and/or outcomes. Each metric/measure should also be tied to a specific objective.

IV. A STEP-BY-STEP GUIDE TO DEVELOPING PERFORMANCE PLANS

As we noted previously, the foundation of performance management is the development of a performance plan. To this end, this manual focuses on the development of performance plans. Other instructional materials exist for the other documents highlighted, especially those associated with employee performance plans and evaluations.
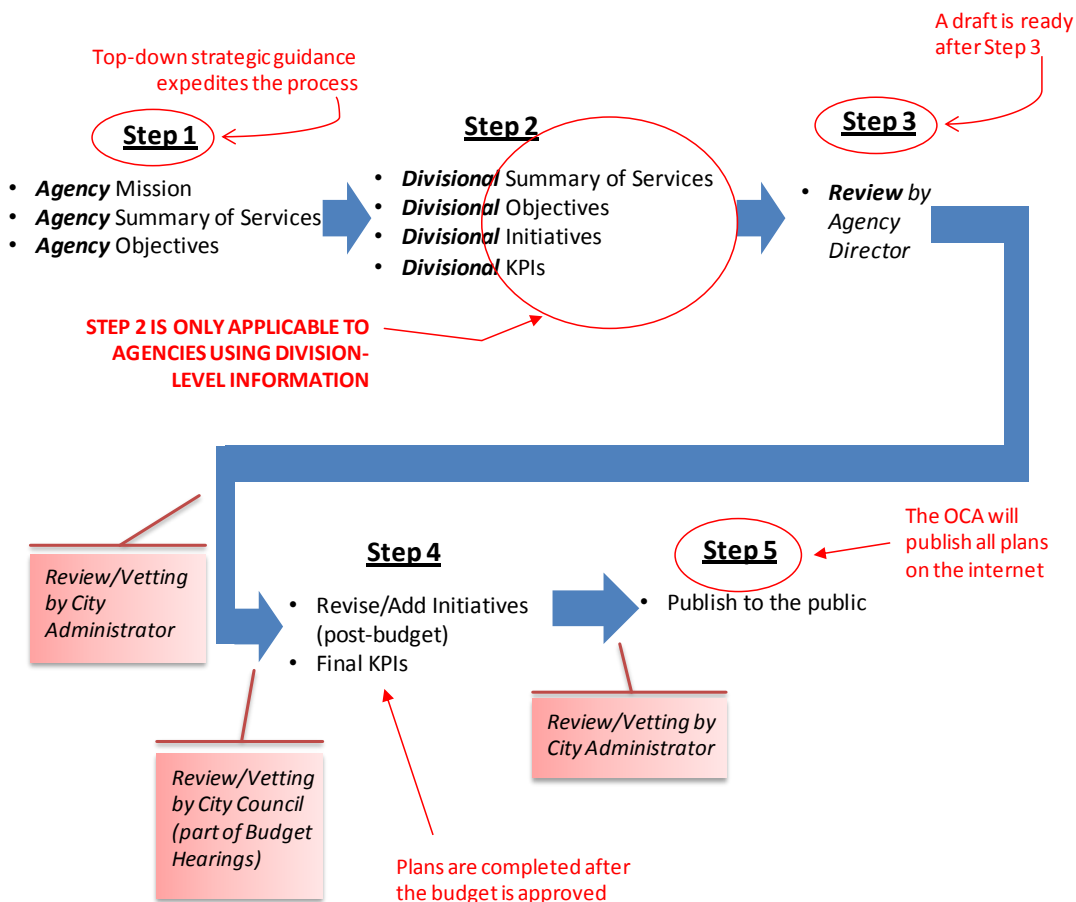
This process is meant to be adaptable to the unique circumstances within an agency, and to conform to events in the city, even if those events occur after the beginning of a fiscal year. There is a sequence to developing a plan. An agency's leadership should set the framework for its divisional plans by establishing a mission and agency-wide objectives. This is the bare minimum, but agencies can also choose to provide additional guidelines. For smaller agencies (those not listed in Appendix A), there is no explicit divisional information. For others, divisions then use this guidance to develop their own objectives, initiatives and key performance indicators. An agency's leadership subsequently uses this thinking to determine which initiatives and KPIs make it into the final plan.

> **A Note about the Guide**
>
> The chart conveys the sequence of activities for developing an agency performance plan.
>
> As has been described, there are many common elements between an agency's plan and a division's plan. To avoid redundancy, we have organized this manual around guidance to developing each of the common elements, which apply regardless equally to both types of plans.

Sequence of Activities in Performance Plan Development

Step 1
- *Agency* Mission
- *Agency* Summary of Services
- *Agency* Objectives

Top-down strategic guidance expedites the process

Step 2
- *Divisional* Summary of Services
- *Divisional* Objectives
- *Divisional* Initiatives
- *Divisional* KPIs

STEP 2 IS ONLY APPLICABLE TO AGENCIES USING DIVISION-LEVEL INFORMATION

Step 3
- *Review* by Agency Director

A draft is ready after Step 3

Review/Vetting by City Administrator

Review/Vetting by City Council (part of Budget Hearings)

Step 4
- Revise/Add Initiatives (post-budget)
- Final KPIs

Plans are completed after the budget is approved

Review/Vetting by City Administrator

Step 5
- Publish to the public

The OCA will publish all plans on the internet

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Let's begin the step-by-step guide by showing an example of an actual agency performance plan from the DC Department of Health.

A short, comprehensive description of why an organization exists. It succinctly identifies what an organization does, (or should do), or for whom it does it.

PERFORMANCE PLAN
Department of Health

This example template for the entire Department of Health should be used for each Divisional Performance Plan as well.

MISSION
The mission of the District Department of Health (DOH) is to promote healthy lives, prevent illness, provide equal access to quality healthcare services and protect the safety of all in the nation's capital.

SUMMARY OF SERVICES
DOH provides programs and services in order to reduce the burden of disease, increase access to health care and promote healthy communities. The Department is responsible for management and delivery of the Medicaid program, DC Alliance, substance abuse prevention and treatment services, bio-terrorism preparedness and response, HIV/AIDS prevention and treatment services, school health services, animal and rodent control, and various population and disease-specific public health programs. DOH regulates and licenses health facilities, health professionals, emergency preparedness and response professionals, and oversees Medical and Health Professional Boards and Committees. In addition, the Department oversees health development investments through the Certificate of Need (CON) program.

A brief summary of the health programs and services managed and delivered by the Department of Health.

OBJECTIVE 1: Expand access to care and improve health outcomes.

Broad statements describing desired outcomes, but more specific than the Department's Mission; objectives support the Mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission.

INITIATIVE 1: Reduce the number of pediatric HIV and AIDS cases.
The use of antiretroviral treatment during pregnancy and the neonatal period has resulted in a 95 percent reduction in mother-to-child HIV transmissions nationally. The Department of Health will promote awareness among women of their HIV status with an aim toward providing HIV care early in pregnancy or during infancy. Early screening and intervention offers a better chance of preventing the spread of HIV to newborns, or the progression from HIV to AIDS among infected children.

INITIATIVE 2: Increase access to substance abuse treatment through the expansion of intake locations and more effectively link residents with substance abuse services.
The Department of Health's Addiction Prevention and Recovery Administration (APRA) will expand intake operations by adding locations closer to clients. In FY08, intake locations will be set up at the D.C. Superior Court and corrections facilities. In addition, APRA will train the Department of Mental Health's Assertive Community Treatment (ACT) program to link at-risk residents to substance abuse programs during their mental-health outreach in the community.

INITIATIVE 3: Minimize the transmission of HIV and other infectious diseases among intravenous drug users by expanding needle exchange programs in the District.
Needle exchange programs are an effective tool for minimizing the transmission of certain infectious diseases, particularly HIV. Once the federal ban on the District is lifted, the Department of Health will develop and fund local needle exchange programs. This includes the provision of funds for critical ancillary services that link intravenous drug users with needed substance abuse treatment, mental health care, and primary medical care.

A statement of an anticipated level of achievement; usually time limited and quantifiable. An initiative may include specific reference to targets and/or standards, and is designed to help the Department meet its objectives.

INITIATIVE 4: Increase participation in home and community-based care for residents i need of long-term care services.
DOH, in collaboration with the Office on Aging and the Department on Disability Services (DDS), will develop, implement, and evaluate new opportunities and initiatives to improve access to services, expand resources that are available for seniors and develop alternatives to institutional care to assist elderly/disabled residents' transition to mainstream society and their own home setting.

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The template on the prior page continues over as many objectives and initiatives as is relevant, although both divisions and agencies should limit their number to 3 – 5 objectives and 2 – 4 initiatives under each objective. At the end of the performance plan, we come to the KPI table.

A Metric or Measure is a fact or statistic reflecting a particular aspect of performance for a service or activity. They are used to ascertain the extent, dimensions, quantity, etc., of something, especially by comparison with a standard or target. Valuable metrics/measures should provide insight into the performance of a program in terms of inputs, outputs, efficiency, service quality, and/or outcomes. Each metric/measure should also be tied to a specific Objective.

Beginning in FY2010, agencies will be required to have at least 3 KPIs for each objective or division, and that one be an outcome measure and another be an efficiency measure.

PROPOSED KEY PERFORMANCE INDICATORS

Metric	FY06 Actual	FY07 YTD	FY07 YE Actual	FY08 Projection	FY09 Projection	FY10 Projection
Objective 1						
Number of participants in the Elderly and Physically Disabled Home and Community Based Services waiver.	TBD	TBD	1,603	1,700	1,940	2,180
Number of perinatal HIV transmissions.	4	TBD	TBD	0	0	0
Reduce number of HIV/AIDS cases transmitted through intravenous drug use.	42	30	TBD	20	15	10
Number of clients successfully referred to drug treatment by needle exchange programs.				2,000	2,050	2,100
Number of substance abuse intake locations.	8	11	11	14	16	18
Percent of children seen by school nurses who received a body mass index (BMI) measurement.				60%	70%	80%
Objective 2						
Number of dentists in fee-for-service dental network (Medicaid and Alliance).	44	63	75	150	200	200
Objective 3						
Percent increase in Medicaid program enrollment.	1%	0%	0%	2%	2%	1%
Number of health care expansions evaluated for cost-effectiveness.	5	5	5	5	5	5
Number of training sessions on accurate documentation and billing for Medicaid public providers.	2	2	2	4	4	4

Targets/Projections should be routinely revised based on prior years' actual performance; and should be used to push our performance toward continuous improvement.

HOW TO…REVIEW AND EVALUATE EXISTING AGENCY MISSION

Agencies should use their mission as identified during their strategic planning process. The mission should be a short, comprehensive description of why an organization exists. It succinctly identifies what an organization does (or should do), or for whom it provides goods or services. A good mission statement should:

- State what the agency does in broad terms
- Identify customers
- Explain why the agency exists
- Be associated with an outcome indicator (statement of accomplishment)

Two examples of strong mission statements:

a. **OPM**: *Support the District Government through building operations, real estate management and capital construction.*

b. **DMV**: *The mission of the Department of Motor Vehicles is to provide excellent customer service and to promote public safety by ensuring the safe operation of motor vehicles.*

Two examples of weaker mission statements:

a. **OPM (FY07)**: *The mission of the Office of Property Management is to provide a high-quality work environment and to ensure that District facilities are user-friendly. OPM's overarching vision is to be the trusted real estate advisor and asset manager for the District of Columbia and to maximize the value of property assets through coordination, strategic planning, financial management, business process improvement, and outreach efforts. The core values that infuse our efforts are quality, integrity, a sense of community, and a commitment to people.*

b. **DHS (FY07)**: *The mission of the Department of Human Services (DHS) is to "Up-Lift Lives" by providing quality-of-life support services to vulnerable individuals and families of the District of Columbia, promote maximum independence and secure futures through community-based services, coordination with other government agencies, and public and private partnerships.*

EXERCISE: CREATE A MISSION STATEMENT

1. What is your agency's purpose?

2. What products and services do you provide?

3. What are the agency's values?

To provide/produce **(service or product)** to **(customer)** in order to **(statement of accomplishment)**.

_____

_____

HOW TO…IDENTIFY SUMMARY OF SERVICES

What does the agency do? This is a brief summary of the programs and services managed and delivered by the agency. Programs and services should be consolidated into service areas for brevity and readability. Some agencies may have a single service area, while others may have several. Service areas should have a common purpose and lead to a common outcome for the customers of the service. To define service areas, identify the major programs and services you perform and collect these into a logical group with a common purpose. The summary should identify:

- Programs/Services that consume a major portion of the agency's budget
- Programs/Services that are critical to the success of the agency's mission
- Programs/Services that have a significant customer service focus

EXERCISE: IDENTIFY YOUR MAJOR ACTIVITIES

Identify your major activities

Do not identify every activity; focus on major activities

- critical to success of agency's mission
- consume significant portion of cost center budget
- politically sensitive or frequently in spotlight
- significant customer service focus

_____

_____

Group activities that have common objectives and/or customers:

_____

_____

HOW TO…DEFINE OBJECTIVES

At the next level are objectives, which are specific outcome-based statements of what will be accomplished within the budget year. These are broad statements describing desired outcomes, but are more specific than the agency's mission. Objectives support the mission and identify specific themes or opportunities for an agency to accomplish in order to achieve its mission.

Two good examples of effective Objective statements:
     a. **DCRA:** *Enhance customer satisfaction through efficient and effective regulatory and compliance processes.*
     b. **DMV:** *Ensure a skilled and diverse workforce for quality customer service.*

EXERCISE: DEFINE AN OBJECTIVE STATEMENT

A good objective statement should:
- Begin with a verb
- Be associated with an outcome indicator (statement of accomplishment)
- Be written to allow measurement of progress

Using the examples above, write an objective statement.

_____

_____

_____

HOW TO...DEVELOP INITIATIVES

Initiatives are the heart of the performance plans. They express what we intend to achieve in language the public will understand. They are statements of an anticipated level of achievement; usually time-limited and quantifiable. In other words, initiatives convey to the reader what an organization intends to achieve that is new, better, or different with its budget. Agencies should tie every budget enhancement to an initiative, but not all initiatives need to be the result of budget enhancements. In fact, the most interesting initiatives are often budget neutral (indeed, most initiatives are budget neutral), because they reflect innovative ways of utilizing the same level of funding.

WHAT IS NEW, BETTER OR DIFFERENT?	
Is an Initiative	**Is Not an initiative**
• Changing service delivery model	• Setting a new target
• Rolling out a new service	• Statement of services
• Measurable and time limited	• Takes more than 3 years to achieve

Initiatives cannot simply restate a prior level of achievement, even if that achievement is outstanding. It should also not restate information contained in the KPI tables. For example, if an agency responds to 90% of customer requests in a timely fashion, then an initiative might be improving the quality of response. If that agency intends to increase its response rate from 90% to 95% (something reflected in the KPI table), then an initiative might state what change the agency is making in order to achieve this. An initiative may include specific reference to targets and/or standards, and is designed to help the agency meet its Objectives.

> *Initiatives express what we intend to achieve in language the public will understand.*

Well-crafted Initiatives:
- Support the Objective(s)
- Consist of a main statement (written in bold), followed by a brief description, 2 to 3 sentences in length (not in bold)
- Reflect planned benefits(s) to consumers
- Allow for measurement of progress
- Allow for completion within no more than 3 fiscal years
- Are supported with current budgeted resources

Another example from the Department of Health:
- ***Reduce the number of pediatric HIV and AIDS cases***
  The use of antiretroviral treatment during pregnancy and in the neonatal period has resulted in a 95 percent reduction in mother-to-child HIV transmissions nationally. The Department of Health will promote awareness among women of their HIV status with an aim toward providing HIV care early in pregnancy or during infancy. Early screening and intervention offers a better chance or preventing the spread of HIV to newborns, or the progression from HIV to AIDS among infected children.

Some of the best initiatives are budget neutral; here is an example from the DMV:

- ***Reduce wait times on Saturdays***
  Currently, DMV has only one service center open on Saturdays. This results in longer wait times due to peak demand on Saturdays. By March 2008, DMV will change the operating days of one additional location from Monday through Friday to Tuesday through Saturday. Doing so will relieve crowding at the 95 M Street, SW location on Saturdays. This initiative is cost neutral.

Agency Performance Plan	Divisional Performance Plan
External Document: Posted on www.dc.gov	Internal Document: For management
Final signoff: City Administrator	Final sign-off: Department/Office Director
Must have: • Mission Statement • Summary of Services • Objectives • Initiatives • Key Performance Indicators (KPIs)	Must have: • Mission Statement • Summary of Services • Objectives • Initiatives • Key Performance Indicators (KPIs)
Require at least one Initiative for each Objective	Encourage at least one Initiative for each Objective
Require at least three KPIs for each Objective	No requirement on the number of KPIs

V. A STEP-BY-STEP GUIDE TO DEVELOPING KEY PERFORMANCE INDICATORS

What is a Key Performance Indicator?
Key Performance Indicators (KPIs), also known as measures, are facts or statistics reflecting a particular aspect of performance for a service or activity. They are used to ascertain the extent, dimensions, quantity, etc., of something, especially by comparison with a standard or target. Targets are previously determined goals and should be routinely revised based on prior years' actual performance and should be used to motivate performance toward continuous improvement.

Good performance measures should be:

- <u>Simple</u>: Keep measures simple and straightforward.
- <u>Results-oriented</u>**:** Focus primarily on outcomes, efficiencies, and outputs.
- <u>Selective</u>**:** Concentrate on the most important indicators of performance. Do not use more measures than necessary.
- <u>Useful</u>**:** Provide information of value to the agency and decision-makers.
- <u>Accessible</u>**:** Provide periodic information about results.
- <u>Reliable</u>**:** Provide accurate, consistent information over time.

Steps for Creating Effective Measures
There is no magic formula for creating effective measures. There are many processes that can work. In fact, this manual offers two. You should adapt these guidelines to your agency needs.

IMPORTANT NOTE ON SEQUENCING

As we indicated in an earlier chart, always develop your mission first, then your summary of services and objectives, whether you represent a division or an entire agency. KPIs and Initiatives should be developed after these elements are in place.

Connecting the Diversity of Measures to Each Other
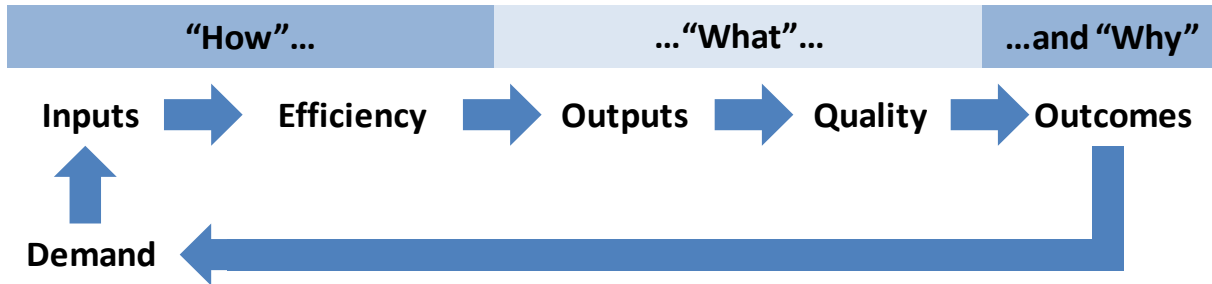
- **Inputs:** Resources invested to address an objective or issue
- **Efficiency**: Costs per unit, a reflection of process
- **Outputs**: Products and services produced
- **Quality**: The quality of those produced services and products
- **Outcomes**: The impact that these activities have on the community/customers
- **Demand**: A form of outcome, the assumptions partially driving budget decisions

APPROACH ONE: REVERSE ENGINEER YOUR KPIS

Step 1: Begin by defining outcomes, and quantifying those outcomes. Look at your mission and intended objectives and record what outcomes or impact your agency intends to make on the community or customer base. This approach starts by defining a fundamental value proposition: How do we know if we're making a difference?

Step 2: List and define the outputs that influence this outcome. Ask yourself and your staff what your organization does (what products or services you produce that influences this outcome). Like you did with outcomes, determine how you would quantify your success in producing these outputs.

Step 3: Balance output measures with quality and efficiency indicators – those elements directly associated with the process of creating those outputs. Measuring outputs themselves may be of limited value unless we can balance the volume of production with a quality and efficiency gauge.

Step 4: Round out an objective's scorecard by measuring inputs and demand. These elements are critical to a balanced scorecard, even if they are not related to actual performance. In fact, they may be entirely outside of your control. Increases and decreases may have no intrinsic value; however, they are helpful in budget planning.

Step 5: Clarify issues of data quality and integrity. The prior four steps will produce more ideas for measures that you will have the capacity or ability to track consistently. Data quality and data integrity can play a key role in determining which ideas you keep for your final plan and which you leave on the white board. Some questions to ask yourselves:
- Is this data we have or can realistically get?
- Is our data collection process sound?
- What confidence do we have that the data accurately reflects reality?

Here is an example of how this approach works. Let's take an example from DDOT. The District Department of Transportation has a Mission to ensure "that the mobility needs of people and goods are met safely." To fulfill part of that Mission, DDOT has an Objective to "Ensure that the District's transportation infrastructure is in a state of good repair." To track their progress toward meeting that

Objective, DDOT contracts with an outside engineering firm to measure the quality of street and bridge conditions, which feeds into an outcome measure: "Percent of streets in Good or Excellent condition." Knowing that DDOT's repaving volume has the single biggest impact on street conditions, the department also measures the output: "Percent of blocks in paving plan completed." DDOT can also go a step further by gauging efficiency ("Cost per square yard for repaving") and quality ("Number of pothole complaints per mile"), which both flow from the initial desired outcome.

APPROACH TWO: BUILD UP FROM YOUR INVESTMENTS

Step 1: Begin by examining your activities (budgeted activities or operational units) and list the key outputs that result from these activities. Obviously, operational units are different than budgeted activities, but either will serve you effectively. The notion here is to start the process with the elements of your organization that staff is most familiar with, either the investments (activities) or the organizational structure (operational units).

Step 2: Develop metrics to gauge the three elements of your activities: output, quality, and efficiency. Determine what these units produce and how you can measure that production. Remember that measuring outputs themselves may be of limited value unless you can balance the volume of production with a quality and efficiency assessment.

Step 3: Define and quantify the community/customer outcomes that these activities are intended to impact. Look at your outputs and record what outcomes or impact your agency intends to make on the community or customer base by engaging in these activities. This is the starting point for Approach One, but still includes addressing the fundamental value proposition: How do we know if we're making a difference?

Step 4: Round out an objective's scorecard by measuring inputs and demand. (See above description)

Step 5: Clarify issues of data quality and integrity. (See above description)

Here is an example of how this approach works. DDOT has a budget program called Transportation Operations. This program contains an activity called Transportation Safety, which received $6.9 million in FY08. One of the primary services associated with transportation safety is replacing broken traffic signals and missing street signs. As an output measure, DDOT also tracks the percent of both signal repair and sign replacement that are done according to established timeframes. The most essential outcome of safety is fewer traffic crashes and fatalities. DDOT therefore has an outcome measure that tracks "the change in injuries and traffic crashes" and also the "fatalities at high accident locations."

What Should You Have at the End of the Process?

1. *You Will Need To Have a Mix of Measures*
   Quality is paramount, but we also need to have quantity standards. By law, we are required to have at least one performance measure for each significant activity. Beginning in FY2010, we are requiring agencies to submit at least 3 KPIs for each objective, with at least one of these KPIs reflecting an outcome goal, and one reflecting an efficiency goal. The same requirement is true of an agency's divisional performance plans as well. There is no upper limit to how many measures you can have. The purpose of requiring multiple measures for each objective is to ensure that we track progress from a variety of different perspectives.

Measure Type	Definition	Example
Input	Value of resources used to produce an output.	• Dollars budgeted/spent • Staff hours used
Demand	Existing need for services. Also refers to workload or customer base.	• Call volume to investigation hotline • Requests for service
Output	Describes the level of activity that will be produced over a period of time. Outputs are activity oriented, measurable, and usually under managerial control.	• Children Immunized • Purchase Orders Issued • Tests Administered • Patients Transported
Efficiency	Reflects the economical and effective acquisition, utilization, and management of resources to achieve program outcomes or produce program outputs. Inputs used per unit of output (or outputs per input)	• Cost per test • Inspections completed per inspector
Service Quality	Degree to which consumers are satisfied with a program, or how accurately or timely a service is provided.	• Percent of respondents satisfied with the service • Average days to issue a purchase order • Error rate per test result
Outcome	Describes the intended impact of carrying out a program or activity. Focuses on "why" the service is provided and speaks to the ultimate benefit to the consumer. Managerial control may be limited by external factors, but managers are still responsible for outcomes.	• Rate of disease transmission • Number of infant deaths • Obesity rates • Percent of employees who demonstrate outstanding achievement in a performance review

The creation of divisional performance plans should aid agencies in their development of a balanced scorecard of measures. Agencies can select the most interesting and insightful objectives and measures. ***This is an important point to highlight: Not every objective and measure in a divisional performance plan should flow up to an agency performance plan. If it did, agency plans would be far too long to be readable. Agency plans should include only the most compelling objectives, initiatives, and measures.***

2. *You Will Need to Record "Meta-Data" About Your Measures*
   Meta-Data refers to descriptive, clarifying information about your measures. It will require work to complete our meta-data worksheet, but it only needs to be done once, when you establish your measures, and then updated periodically. For each measure, you will be required to report:
   • Reason for measuring it
   • Responsible manager
   • Collection methodology
   • Data validation methods
   • Frequency of collection

- Calculation formula
- Measure type (outcome, output, etc.)
- Corresponding objective and budget program
- Reason for data trend (only for three measures per agency, see below)

3. *You Will Need to Select Three Measures as "Featured Measures"*
   In our year-end performance reports, we will provide more information about three measures per agency than we do about your other measures. More specifically, we will graph these measures and provide an assessment of why the data trended as it did.

OVERCOMING LIMITATIONS AND RESISTANCE TO PERFORMANCE MANAGEMENT

You may face resistance to implementing a rigorous performance management system in your agency or division. Most resistance is rooted in people's concerns with the limits of performance management, and a belief that these limits outweigh the benefits. We obviously disagree, and want to assist you in responding to the most likely pushback you may receive.

❖ *"You can't measure what I do."*
   RESPONSE: Performance management is so widespread across local and state governments that there is very little that someone, somewhere hasn't found a reasonable way to measure. Areas thought to be "impossible to measure" require more creativity, motivation, and more work, but it can be done.

❖ *"I don't want it measured unless I control it."*
   RESPONSE: Very few organizations have total control over the environment that they are trying to cover. But, if we only measured elements within our control, we would have a list of outputs, without regard to our customers or the community. The Metropolitan Police Department, for example, measures crime even though many factors influence crime rate. DDOT measures traffic fatalities, even though many other factors play a larger role in traffic safety. Yet if these agencies did not track outcomes, then they would be overlooking some of the most central features of their core mission.

❖ *"It will be used against me."*
   RESPONSE: It is true that commitment to transparency opens one up to criticism. But this scrutiny, even if unfair, provides motivation to improve performance. If you are open about where you need to improve, most people will give you the benefit of the doubt as long as you demonstrate that you are sincerely seeking to improve. In fact, being honest about your performance and how you can improve can actually help you win support for additional resources.

❖ *"I've seen this before. It's just a passing fad."*
   RESPONSE: Measuring performance is not new, and it is not going anywhere. The pressure for more transparency is greater than ever, and will continue to grow. Templates may change, new forms may be required, but the act of transmitting for public debate agency performance is with us for the long term.

❖ "*We don't have the data."* or, *"We don't trust the data we have."*
   RESPONSE: If a program is important enough to fund, it is important to find a way to measure the performance of that program. If data is not available for the ideal measure, then develop a meaningful measurement that taps into data you have or can get. There is more

than one way to measure almost any activity. A lack of data should generate ideas of other ways to gauge performance.

❖ *"We don't have the resources to collect the data."*
RESPONSE: Very few agencies have the ability or need to devote a full-time resource to performance management. It needs to be part of what nearly everyone does. Tracking should be part of day-to-day operations, not the result of issuances from on-high. Ideally, agencies will report to the City Administrator and the public a selection of activities that they have been tracking regularly for their own purposes for a long time.

Beware of the Unintended Consequences of Measuring Performance

There is a term in education – "teaching to the test" – that warns about the dangers of educating kids to be good test-takers at the expense of truly learning the subject. Along those same lines, be careful what you measure and how exclusively you look at measures. Ask yourself if there is a trade-off to an organization if they focus too heavily on hitting their numbers. In other words, is the organization letting one aspect of its operation suffer in order to meet their targets? If, for example, you measure timely response to service requests, then does some other aspect of your operation suffer in order to respond more quickly to customer requests? To this end, always make a point of measuring important activities from more than one perspective. Measure those trade-offs as well. They may be worth making, but you cannot make that decision unless you are aware of them.

VI. PERFORMANCE MANAGEMENT STYLE GUIDE

All Agency and Divisional Performance Plans are required to adhere to the same style guidelines in order to ensure consistency and uniformity. Please abide by the following structure:

Times New Roman 12 pt font

One inch margins

DC logo

Current Fiscal Year and Plan

FY08 PERFORMANCE PLAN
Department of Motor Vehicles

Agency Name

Bolded Headlines

MISSION
The mission of the Department of Motor Vehicles (DMV) is to provide excellent customer service and to promote public safety by ensuring the safe operation of motor vehicles.

SUMMARY OF SERVICES
The DMV provides service to approximately 440,000 licensed drivers and identification card holders and 257,000 registered vehicles at four service centers. DMV conducts adjudication services and collects ticket payments for more than 2.4 million parking and traffic tickets each year. It also conducts over 219,000 annual vehicle inspections. Additionally, the DMV call center answers over 30,000 customer service calls every month.

OBJECTIVE 1: Make it easier, faster, and friendlier to do business with DMV.

INITIATIVE 1.1: Reduce wait times on Saturdays.
Currently, DMV has only one service center open on Saturdays. This results in longer wait times due to peak demand on Saturdays. By March 2008, DMV will change the operating days of one additional location from Monday through Friday to Tuesday through Saturday. Doing so will relieve crowding at the 95 M Street, SW location on Saturdays. This initiative is cost neutral.

½ inch indentation

INITIATIVE 1.2: Revamp the DMV website to provide customers with enhanced information.
DMV will revamp its website to provide information that is customer-focused and content driven. The new website will provide customers with enhanced information such as tips for buying and selling vehicles, information related to lemon laws, alternative-fuel vehicles and identity theft,

After all of the agency's objectives and initiatives have been listed and detailed, the Key Performance Indicators must be included in a table similar to the one below. Each KPI is tied to one of the objectives listed above. Please include all of the elements in the example: metric; previous year actual (if applicable); current year target; current year projected; projected target next fiscal year; projected target in 2 fiscal years; and projected target in 3 fiscal years. If the KPI is new, you will need to use N/A for the past and current years and make your projections going forward.

Font in the KPI table should be Times New Roman, 10pt

INITIATIVE 3.3: Develop and implement a registration and licensing transaction auditing process.

For ... ucted over 3.4 millio... ...ions. The internal integrity of thes... ...itical to ensuring tha... ...ulatory requirements and protects the ... and residents. In Feb... ...ce Integrity Officer was hired to ensure the integrity of agency operations and increase the customer's trust in DMV's services. By January 2008, DMV will develop and implement a transaction auditing process.

Metric — Previous year actual — Current year actual — Projected Target +2 yrs — Projected Target +3 yrs

PROPOSED KEY PERFORMANCE INDICATORS

Metric	FY06 Actual	FY07 Original Target	FY07 YE Actual	FY08 Projected	FY09 Projected	FY10 Projected
Objective 1						
% of mail adjudication hearings completed within 90 days of request[1]	N/A	N/A	N/A	80%	85%	90%
% of service center customers whose wait times are 40 minutes or less[1, 2]	N/A	N/A	N/A	80%	80%	80%
% of vehicle inspections completed within	N/A	N/A	N/A	80%	83%	85%

Current year target — Projected Target +1 yr

27

APPENDIX A: DIVISION-LEVEL PERFORMANCE PLAN AGENCIES

Agency
Office of the Chief Technology Officer (OCTO)
Department of the Environment (DDOE)
Department of Parks and Recreation (DPR)
Department of Small and Local Business Development (DSLBD)
Metropolitan Police Department (MPD)
Office of the Chief Medical Examiner (OCME)
Department of Public Works (DPW)
Department of Motor Vehicles (DMV)
Department of Transportation (DDOT)
Department of Housing and Community Development (DHCD)
Department of Human Services (DHS)
Department of Disability Services (DDS)
Department of Youth Rehabilitation Services (DYRS)
Child and Family Services Agency (CFSA)
Department of Health Care Finance (DHCF)
District of Columbia Public Library (DCPL)
State Superintendent of Education (OSSE)
District of Columbia Public Schools (DCPS)
University of the District of Columbia (UDC)
Office of Public Education Facilities Modernization (OPEFM)
Office of the City Administrator (OCA)
Department of Corrections (DOC)
Office of Unified Communications (OUC)
Department of Health (DOH)
Department of Mental Health (DMH)
Office of Contracting and Procurement (OCP)
Department of Human Resources (DCHR)
Office of the Attorney General (OAG)
Department of Insurance, Securities and Banking (DISB)
Department of Employment Services (DOES)
Office of Property Management (OPM)
Department of Consumer and Regulatory Affairs (DCRA)
Office of Planning (OP)
Homeland Security & Emergency Management Agency (HSEMA)

APPENDIX B: GLOSSARY

Actual	The actual level of performance, compared to the target level of performance, for each performance measure included
Baseline	The initial level of performance at which an agency is operating upon which future performance will be measured.
Benchmarking	The process of comparing and measuring an agency's performance on a particular process against the performance of best practice agencies.
Demand Measure	Refers to the amount of work assigned to or expected from the agency in a specified time period. Demand measures can include client populations and workload. They tend to cover an annual period and are not directly controlled by the agency.
Efficiency Measure	Reflects the economical and effective acquisition, utilization, and management of resources to achieve program outcomes or produce program outputs. They may also reflect ingenuity in the improved design, creation and delivery of services to the public, customers or beneficiaries by capturing the effect of intended changes made to outputs aimed to reduce costs and/or improve productivity, such as the improved targeting of beneficiaries, redesign of goods or services for simplified customer processing, manufacturability or delivery.
Goal	A general target toward which an agency strives to achieve.
Input Measure	Refers to the value of resources used to produce an output. For example, dollars budgeted/spent or staff hours used.
Key Performance Indicator	A particular value or characteristic used to measure output or outcome. A parameter useful for determining the degree to which an organization has achieved its goals. Synonymous with metric.
Metric	A standard or unit of measure. See Key Performance Indicator.
Outcome Measure	Describes the intended impact of carrying out a program or activity. Outcome measures define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the public.
Output Measure	Describes the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered).
Performance Management	The use of performance data to help organizations achieve their strategic goals
Performance Measure	Ways to objectively measure the degree of success a program has had in achieving its stated objectives, goals, and planned program activities.
Service Quality Measure	Reflects the degree to which customers are satisfied with a program, or how accurately or timely a service is provided.
Result	The outputs and outcomes you intend to track for a particular activity.
Target	Previously determined goals.

APPENDIX C: PERFORMANCE MANAGEMENT RESOURCES FOR FURTHER READING

The Office of Management and Budget (Federal), Expectmore.gov -
http://www.whitehouse.gov/omb/expectmore/

Fairfax, VA's performance measurement manual -
http://www.fairfaxcounty.gov/dmb/performance_measurement/Basic_Manual.pdf

Virginia's Performance Leadership and Accountability System -
http://vaperforms.virginia.gov/

ICMA Center for Performance Management -
http://www1.icma.org/main/bc.asp?bcid=107&hsid=1&ssid1=50&ssid2=220&ssid3=297&t=0

APPENDIX D: DIVISION-LEVEL PERFORMANCE PLAN EXAMPLE

FY09 PERFORMANCE PLAN
Fire and Emergency Medical Services

MISSION
The mission of the Fire and Emergency Medical Services Department (F&EMS) is to promote safety and health through excellent pre-hospital medical care, fire suppression, hazardous materials response, technical rescue, homeland security preparedness and fire prevention and education in the District of Columbia.

SUMMARY OF SERVICES
The Fire and Emergency Medical Services Department (F&EMS) provides all-hazards protection to residents and visitors in the District of Columbia from 33 neighborhood fire stations that deploy 39 EMS transport units, 33 engine companies, 16 ladder trucks, three heavy-rescue squads, one hazardous materials unit and one fire boat company. 14 of these transport units and 20 of these engine companies are staffed by paramedics providing advanced life support (ALS) care. Matching the Department's commitment to emergency incident response is an aggressive prevention strategy for reducing the likelihood of emergency incidents. Prevention programs include residential smoke and carbon monoxide detector installation, fire safety and juvenile fire offender education and intervention programs, public access CPR training, high school CPR training, automatic external defibrillator (AED) registration programs and neighborhood health and disease prevention screenings. Fire code enforcement, permitting and regulation activities are administered through the Department's Fire Marshal's Office. F&EMS also provides protection for special events that are unique to the nation's capital, such as major demonstrations and the Presidential Inauguration. In addition, F&EMS provides fire and medical protection for Presidential motorcades and helicopter landings.

Combining these services into a customer centered mission driven organization is the responsibility of the Office of the Fire & EMS Chief. Department performance expectations in FY09 are listed by functional division.

PERFORMANCE PLAN DIVISIONS
- Operations Division
- Support Services Division
- Planning and Policy Division
- Office of the Fire & EMS Chief

Operations Division

MISSION
Provide emergency incident first response, ambulance transport, mitigation and management for fire, EMS and special hazard calls in a timely fashion using effective combinations of people, programs and resources to reduce death, disability and property damage as the result of accidents, emergency incidents, disasters and other events. Identified objectives and initiatives essential to the improvement of division level performance during FY09 include:

OBJECTIVE 1: Provide quality pre-hospital medical care.

INITIATIVE 1.1: Implement Mayor's EMS Task Force recommendations.
The Department will implement and monitor all remaining and relevant recommendations of the Mayor's EMS Task Force to improve the availability, timeliness and efficacy of pre-hospital patient care. The priority will be completing all remaining relevant FY09 items.

INITIATIVE 1.2: Revise medical protocols.
The Department will create and implement revised medical protocols congruent with evolving national standards. Protocol implementation will include writing, training and monitoring components.

INITIATIVE 1.3: Expand quality improvement (QI) monitoring methods.
The Department recognizes that quality monitoring and improvement techniques need to be continued, standardized and expanded. Focus areas will include the publication of a QI program document, implementation of expanded QI components and reporting of EMS quality measurements.

INITIATIVE 1.4: Continue to expand paramedic field supervision city-wide.
The Department will continue to increase the number of paramedic field supervisors in service on a daily basis. The expanded coverage will allow supervisory paramedics to respond to a wider range of calls in their respective sectors and ensure that all EMS providers in the District receive regular field evaluations. F&EMS will hire new FTEs to complete this requirement.

INITIATIVE 1.5: Develop and implement a PCR reporting and documentation standard for F&EMS.
A PCR "reporting and documentation standard" will be developed and implemented to improve data capture, standardize patient narrative descriptions and better assure reporting accuracy. This will include a PCR/CAD reconciliation method.

INITIATIVE1.6: Expand "Street Calls" patient intervention program.
To reduce 911 demand by connecting citizens with appropriate and effective preventive and emergency medical care in FY09, the Department will expand the "Street Calls" patient intervention program and better integrate the program with operational response policy.

OBJECTIVE 2: Improve the capability of emergency apparatus to extinguish fires.

INITIATIVE 2.1: Identify, equip and place in service water supply engine companies.
In FY08, F&EMS recognized that adequate water supply was essential for extinguishing potentially large fire loads. To reduce the risk of inadequate water supply, F&EMS will place in service seven (7) specially equipped water supply apparatus during FY09.

OBJECTIVE 3: Improve employee safety and reduce injuries during emergency responses.

INITIATIVE 3.1: Modify emergency apparatus to improve design safety.
F&EMS will modify passenger and vehicle warning safety equipment for emergency apparatus to lessen the likelihood of accidents or injuries during emergency responses. This will include updating new apparatus design specifications to reflect such changes.

INITIATIVE3.2: Implement an emergency apparatus driver training and safety program.
F&EMS will implement emergency apparatus driver training, evaluation and certification requirements to lessen the likelihood of accidents or injuries during emergency responses.

INITIATIVE 3.3: Implement NFPA compliant station wear clothing program.
F&EMS will implement an NFPA clothing standard designed to prevent burn injuries. The standard will be phased in over the period of three (3) fiscal years and result in the purchase and distribution of new uniforms.

INITIATIVE 3.4: Implement emergency apparatus mobile data computers (MDC) command and control system.
The Operations Division will work cooperatively with F&EMS and OCTO personnel to configure and implement a mobile data communications technology system on all emergency apparatus to improve awareness of F&EMS personnel to potential hazards at emergency incidents.

INITIATIVE 3.5: Implement F&EMS operational "job aids" program.
F&EMS will implement a "job aids" program using "task books" to identify standard operating orders and procedures for emergency incident management operations.

PROPOSED KEY PERFORMANCE INDICATORS – Operations Division

Measure	FY07 Actual	FY08 Target	FY08 YTD	FY09 Projection	FY10 Projection	FY11 Projection
% of critical medical calls with paramedic arriving within 8 minutes, en route to scene.	89%	90%	89%	90%	90%	90%
% of critical medical calls with first transport unit arrival within 13 minutes, dispatch to scene.	96%	90%	95%	90%	90%	90%
% of hospital drop times of 30 minutes or less.	37%	75%	35%	75%	80%	90%
% of patient care reports that are E-PCRs.	<30%	N/A	60%	95%	100%	100%
% of cardiac arrest patients successfully resuscitated.[1]	N/A	N/A	N/A	TBD	TBD	TBD
[2] "Cardiac arrest patients successfully resuscitated" means non-traumatic cardiac arrest patients who recover and maintain heartbeat until transferred to hospital care. Patients initially presenting without electrical activity in the heart (asystole), even if resuscitation is attempted, are excluded from this group.						
% decrease in 911 usage by Street Calls patients in a cohort.[2]	N/A	N/A	N/A	30%	35%	40%
[1] A "Cohort" is a group of patients tracked over a several month period by the Street Calls Program.						
# of department vehicles involved in accidents during emergency responses.	N/A	N/A	N/A	230	TBD	TBD
# of department personnel injured during emergency responses.	N/A	N/A	N/A	10	TBD	TBD
# of department personnel injured during firefighting operations.	N/A	N/A	N/A	100	TBD	TBD
% change in # of all structural fires.	-36%	-5%	-4%	-5%	-5%	-5%

Support Services Division

MISSION
Support the operational requirements of F&EMS by procuring, developing, and managing workforce, infrastructure, educational and regulatory programs aligned with fire, EMS and special hazard operations. Identified objectives and initiatives essential to the improvement of division level performance during FY09 include:

OBJECTIVE 1: Maintain the living and working environments of F&EMS properties.

> **INITIATIVE 1.1: Continue "buff, scrub and greening" program to improve fire station maintenance.**
> F&EMS will complete the "buff scrub and greening" program for Fire Stations 13, 18 and 19.

> **INITIATIVE 1.2: Continue "improvement, rehabilitation and replacement" program for F&EMS property.**
> F&EMS will complete FY 09 capital plan replacement objectives for Fire Stations 10, 27, 28 and 29.

> **INITIATIVE 1.3: Occupy PR Harris property.**
> F&EMS will complete modification of the PR Harris property following FY 09 capital plan replacement objectives and occupy the property.

OBJECTIVE 2: Expand technology infrastructure to support F&EMS operational objectives.

> **INITIATIVE 2.1: Finish implementing E-PCR reporting system.**
> To complete the switch from paper to E-PCRs for patient reporting purposes, F&EMS will complete implementation of E-PCR for use during all patient contacts. To finish the project in FY09, F&EMS will install mobile computers in all remaining emergency apparatus and finish employee software training.

> **INITIATIVE 2.2: Implement TeleStaff personnel management system.**
> To place better management controls on work scheduling of emergency and administrative personnel, facilitate easier timekeeping and provide better general accountability during FY09, F&EMS will implement the TeleStaff personnel management system including the installation of servers, software and telephony equipment. This project will include configuration, installation and training elements, all of which will be completed during FY09.

OBJECTIVE 3: Decrease life safety hazards in medium to high risk commercial properties.

> **INITIATIVE 3.1: Implement fire safety inspection programs in high occupancy load restaurants, bars and nightclubs during peak business hours.**
> F&EMS will implement a restaurant, bar and nightclub fire safety inspection program during peak business hours to assure compliance with fire code regulations.

OBJECTIVE 4: Decrease fleet out-of-service time for F&EMS emergency vehicles.

> **INITIATIVE 4.1: Implement a fleet apparatus management plan to decrease vehicle out-of-service times.**

F&EMS will implement a fleet apparatus management plan to better monitor repair vendor performance, in-house vehicle maintenance programs and repair scheduling.

PROPOSED KEY PERFORMANCE INDICATORS – Support Services Division

Measure	FY07 Actual	FY08 Target	FY08 YTD	FY09 Projection	FY10 Projection	FY11 Projection
% of emergency apparatus with MDCs implemented.	N/A	N/A	N/A	100%	N/A	N/A
% of emergency apparatus in service each day.	N/A	N/A	N/A	90%	92%	92%
# of peak hour/high risk inspections.	N/A	N/A	N/A	500	500	500
% of arson cases closed with an arrest.	18%	N/A	25%	22%	24%	24%

Planning and Standards Division

MISSION
Support the operational requirements of F&EMS by planning, complying, promoting and managing workforce related risks, workforce diversity and opportunity, personnel compliance and public records privacy aligned with fire, EMS and special hazard operations. Identified objectives and initiatives essential to the improvement of division level performance during FY09 include:

OBJECTIVE 1: Improve individual employee responsibility and compliance.

INITIATIVE 1.1: Implement a comprehensive drug and alcohol testing program for current employees.
F&EMS will implement a comprehensive drug and alcohol testing program to decrease the likelihood of illegal drug or inappropriate alcohol use by emergency personnel. Testing will be annually and randomly scheduled and include testing of drivers operating department vehicles involved in accidents.

INITIATIVE 1.2: Implement a comprehensive background and criminal records check program for current employees.
F&EMS will implement a comprehensive background and criminal records check program to decrease the likelihood of employing emergency personnel with undiscovered criminal histories or histories of other employment impacting events. Background and criminal record checks will be scheduled annually.

PROPOSED KEY PERFORMANCE INDICATORS – Planning and Policy Division

Measure	FY07 Actual	FY08 Target	FY08 YTD	FY09 Projection	FY10 Projection	FY11 Projection
# of scheduled drug/alcohol screenings.	N/A	N/A	N/A	2100	2100	2100
# of random drug/alcohol screenings.	N/A	N/A	N/A	420	420	420
# of background /criminal records checks.	N/A	N/A	N/A	2100	2100	2100

Office of the Fire and EMS Chief

MISSION
Develop, implement and manage "high value" Department programs including customer service, public information and legislative policy initiatives to support District and Department leadership, improve public perception of service efficacy and promote policies focused on public safety. Identified objectives and initiatives essential to the improvement of division level performance during FY09 include:

OBJECTIVE 1: Attract a highly-qualified, diverse workforce.

    INITIATIVE 1.1: Create plan for implementing a new entry level hiring process.
    F&EMS will re-engineer the entry level hiring process in FY09 to reduce process completion time, eliminate administrative bottlenecks, increase candidate potential and improve workforce diversity.

    INITIATIVE 1.2: Create plan for implementing a new employment academy program targeting District of Columbia youth.
    F&EMS will develop an employment academy program targeting District of Columbia youth. The academy will focus on teaching life, living and employment skills specifically targeting the development of participants as public safety employees with F&EMS.

OBJECTIVE 2: Improve water supply capacity for extinguishing fires.

    INITIATIVE 2.1: Inspect and flush test all District of Columbia fire hydrants at least twice per year.
    In FY08, F&EMS recognized that maintenance, capacity and serviceability of District fire hydrants needed improvement. To prevent potential fire loss through inadequate water supply, F&EMS will flush and flow test all hydrants twice during FY09.

OBJECTIVE 3: Increase public awareness for preventing sudden cardiac death.

    INITIATIVE 3.1: Implement a public access CPR training program in cooperation with American Heart Association.
    F&EMS will engage in a public CPR training campaign with AHA utilizing "CPR Anytime" and other traditional CPR training program elements.

    INITIATIVE 3.2: Implement a public school CPR training program in cooperation with DCPS.
    F&EMS will engage in a high school CPR training campaign through the cooperation of DCPS. F&EMS will participate in existing school-taught health programs.

    INITIATIVE 3.3: Continue the public access automatic external defibrillator (AED) management program.
    F&EMS will continue to promote the purchase, registration and placement of AEDs in homes, businesses, schools and public facilities, including District recreation centers through its public access defibrillation program.

OBJECTIVE 4: Increase public awareness for preventing fire related deaths.

INITIATIVE 4.1: Implement the Smoke Alarm Verification and Utilization (SAVU) program District wide.
F&EMS will engage in a smoke and carbon monoxide detector placement campaign to promote the use of residential detectors in all homes. The SAVU program will conduct monthly outreach to residential neighborhoods and install free detectors in private residences, if requested. During installation visits, participants will be provided information concerning fire and life safety issues, including walk-through home inspections to reduce fire risk.

OBJECTIVE 5: Provide excellent customer service.

INITIATIVE 5.1: Implement a customer service assessment program.
F&EMS will develop, test and deploy a number of customer survey tools. These surveys will assess public opinion concerning the effectiveness of emergency services and experience with employee behavior. Distribution will be by mail and Internet access.

PROPOSED KEY PERFORMANCE INDICATORS – Office of the Fire and EMS Chief

Measure	FY07 Actual	FY08 Target	FY08 YTD	FY09 Projection	FY10 Projection	FY11 Projection
% of District of Columbia fire hydrants inspected.	N/A	N/A	100%	100%	100%	100%
# of individuals trained in CPR programs	N/A	N/A	440	500	500	500
# of new AED registrations.	177	N/A	200	200	200	200
# of smoke detector installations.	511	2,400	3,491	3,500	3,500	3,500
# of unplanned overtime hours.	N/A	N/A	N/A	102,000	TBD	TBD
% of unfilled appropriated FTEs (vacancy rate).	4.5%	5%	6%	2%	2%	2%
# of the operational workforce certified as paramedics	N/A	N/A	232	280	330	330
% of uncertified operational personnel who have obtained EMS certification (of 88 remaining).	N/A	20%	55%	80%	20%	N/A
% of patients surveyed indicating they were "satisfied" or "very satisfied" with EMS services.	N/A	N/A	N/A	95%	95%	95%